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Approved For Release 2001/07/29 : CIA-RDP78-05244A000200040025-5

OFFICE OF FINANCE NOTICE NO. 29-80

28 July 1980

SUBJECT: Office of Finance Comparative Evaluation and Promotion System

RECISION: OF Notice No. 6-76

**I. POLICY**

A. Comparative evaluations will be conducted and completed at least annually by MF Career Subgroup Evaluation and Promotion Panels.

B. The criteria of the evaluation system will be reviewed annually by the MF Career Subgroup Board in order to maintain its relevancy to management needs of the Finance Career Subgroup.

C. The criteria used for comparative evaluation purposes will be published and be readily available to all careerists.

D. Career development to a level within the competence and aspiration of each employee is a continuing objective of Agency management. In consonance with the needs of the Career Service, OF management endeavors to provide personnel with assignment and training opportunities to afford work satisfaction, improve skills, and enhance personal growth to the maximum extent compatible with their demonstrated capabilities, performance, and willingness to serve. Supervisors are expected to exercise initiative in discussions of career objectives of employees supervised; employees are encouraged to seek the counsel of supervisors and discuss their career plans and their comparative standing with the appropriate Career Management Officer. Every employee will be offered the opportunity to be counseled on his or her career plans and comparative ranking at least once every three years.

E. Employees ranked in Category IV will be advised by their Career Management Officer/OF and counseled as to how they can improve their comparative standing.

**II. OBJECTIVE**

The objective of the Comparative Evaluation System is to provide the mechanism by which all MF Careerists will be comparatively evaluated and ranked for value to the service, to identify those individuals who merit promotion based on performance and potential, and provide relevant data to assist management in identifying MF Careerists for prospective assignments, career development, and counseling.

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**SECRET**

SECRET

SUBJECT: Office of Finance Comparative Evaluation and Promotion System  
Page 2

### III. EVALUATION AND PROMOTION PROCEDURES

A. To assist in the development of comparative evaluations, each panel member is furnished with the careerist's soft file consisting principally of a biographic profile, performance appraisal reports, memoranda relative to career counseling, and the most recent Headquarters or Field Reassignment Questionnaire.

B. All MF Careerists will be evaluated on a numerical scale as indicated for each of the following characteristics (Figure 1):

#### 1. EXPERIENCE

a. Expertise : The degree to which the employee has developed specialized knowledge and skills that would be difficult to replace in a functional area of work (Figure 2). This factor emphasizes qualities such as knowledge of specialized equipment, techniques, laws, regulations, and procedures.

b. Versatility : The applicability of the individual's knowledge, talent, and skills to assignments in various functional work areas -- general finance, budget, monetary, commercial audit, systems and procedures, and general support, including rotational and field assignments (Figure 2).

#### 2. ON-THE-JOB-PERFORMANCE

a. Productivity : The degree that an individual's work satisfies standards as to accuracy, quality, completeness, and timeliness with minimum supervision and within the constraints of assets and information.

b. Judgment : The degree to which the individual, compatible with expectations normal to the grade level and function, makes sound recommendations and effective decisions, including whether or not an issue is deserving of attention at a higher level.

c. Creativity/Innovation : The degree that the individual identifies, develops and expresses innovative but practical alternatives and solutions to problems.

d. Initiative : The ability of the employee to perform effectively with minimal direction or supervision normal to the grade level and function being performed; identifies a need, organizes, and devises and undertakes action to satisfy that need.

SECRET

SUBJECT: Office of Finance Comparative Evaluation and Promotion System  
Page 3

e. Self-Expression/Written : The effectiveness of the individual in organizing ideas and expressing them clearly and succinctly in written form.

f. Self-Expression/Oral : The effectiveness of the individual in all forms of oral communication.

### 3. PERSONAL ATTRIBUTES AND ABILITIES

a. Leadership : The degree to which an individual influences, inspires or motivates others in the successful achievement of tasks or activities.

b. Interpersonal Relationships : The degree to which the employee demonstrates the ability to relate and work with subordinates, counterparts, and supervisors.

c. Training : The amount of interest the individual has shown in his/her intellectual and professional growth through Agency-sponsored training or training undertaken at the individual's own initiative.

d. Mobility : The individual's availability and willingness, to accept another assignment.

e. Dedication : The level of the individual's commitment and response to the task at hand utilizing organizational policies, procedures and decisions/commands; participates as a team player in the furtherance of organizational goals.

### 4. POTENTIAL

Potential : The degree to which all aspects of the employee's career performance indicate a capacity for growth and assumption of increasing responsibilities.

C. The panels, after evaluation of all employees in a particular grade level, will prepare a Comparative Evaluation Listing (CEL) based on the comparative scores and grouped by the following categories:

**SECRET**

SUBJECT: Office of Finance Comparative Evaluation and Promotion System  
Page 4

### Category I

These are employees whose personal history and work performance clearly suggest a high degree of potential for rapid career growth into positions of increasingly greater responsibility. Employees in this category are judged to possess experience, knowledge, and talents which are presently clearly exceptional in comparison with their peers. Career actions should reflect this evaluation through enhancing employee's talents and exploiting their potential.

### Category II

These are employees whose personal history and work performance indicate the capability to assume greater responsibilities. Employees in this category are evaluated as presently displaying talent as well as potential for advancement. Career actions should enhance employee's skills and further develop their potential.

### Category III

These are employees whose personal history and work performance tend to show they presently are close to realizing or have realized their potential. Some employees in this category may be capable of performing successfully at a higher level of responsibility and some may not. Many employees in this category are providing valuable services in their present assignment, and lateral assignments may not contribute much toward enhancing their talents or their value to the career service. In these cases career actions should provide for their continued work satisfaction. Actions for others in this category should provide the opportunity for revealing possible further potential.

### Category IV

These are employees whose overall work performance reflects a specific deficiency in, or inability to meet, important aspects of work requirements which unduly limits their value in their assignment or current career area. Employees in this category may have potential for growth, but their deficiencies are such as to interfere with or preclude improved performance in the current assignment or further development in the career area. These employees will be advised of their deficiencies and placement in this category. Counseling or remedial training is to be provided. Career actions will be taken to establish whether the talents of some of these employees can be utilized or potential realized in another career function or service within the Agency. The deficiencies in work performance or behavior of some employees in this category may require their reassignment, demotion or separation.

**SECRET**

SUBJECT: Office of Finance Comparative Evaluation and Promotion System  
Page 5

D. The procedure followed by the panels in the evaluation process is generally as follows:

1. The first annual meeting of each panel will be scheduled so as to have available current performance appraisal reports on each individual in the grade being ranked. This first meeting will be devoted to a detailed examination of each employee's file in order to rate the employee's skills and attributes. Each employee will be rated by each panel member on the evaluation worksheet (Figure 3) using the characteristics prescribed above and then a consensus rating will be agreed to by the panel members. All employees will then be listed on the summary of evaluation worksheets in descending order with the employee receiving the largest total point score listed first. The totals in each column will be added and divided by the total number of employees being ranked to arrive at average scores for each characteristic and an overall average for the group.

2. This overall average will be used to separate those employees between Categories I/II and III/IV; i.e., those considered to have high potential (CAT I) and those considered to have the potential to develop high potential (CAT II) should be separated from those who are considered valuable contributors (CAT III) and those considered to have a specific deficiency (CAT IV). The panel should then carefully examine the scores of those employees falling just above the average and just below the average to satisfy themselves that the scores are justified. If the panel is not satisfied with an individual's placement on the list, a revised consensus rating should be determined and the list and average scores appropriately adjusted.

3. The panel must next determine the point (score) to use which separates Category I and Category II. Since there is no pre-determined percentage that applies to the numbers of employees allowable in each category, the panel must make this judgment. Employees listed in Category I should be judged by the panel as possessing experience, knowledge and talents which are presently clearly exceptional in comparison with their peers. This judgment should be evidenced by the panel evaluation of potential plus consideration of the supervisors evaluation in the PAR that an employee is ready to assume higher level responsibility. Other employees ranked above average but who fail to meet the criteria for Category I should be ranked in Category II.

**SECRET**

SUBJECT: Office of Finance Comparative Evaluation and Promotion System  
Page 6

4. Next, the panel must determine if any employee deserves to be ranked in Category IV, and if not, all employees with scores below the average for the group will be ranked in Category III. The panel must keep in mind that a score below the average for the group does not in itself indicate poor performance or a marginal employee. It is an indicator used to counsel employees on their standing relative to other employees in the same grade. By measuring an employee's score in a particular attribute against the average score of the group in that attribute permits an employee (and the Career Service) to take positive steps for improvement if such is warranted.
- E. Once the panel has agreed on the comparative evaluation ranking and the listing has been completed, the second phase of the panel responsibility can begin -- recommendations for promotions.
  1. The panel will be informed of available headroom within which promotions can be recommended. As a guide for determining who should be recommended for promotion, the following suggestions are offered:
    - a. Minimum time-in-grade should be used to narrow the list of eligibles. Exceptions can be made for candidates who are clearly deserving of promotion despite not meeting TIG minimums.
    - b. In general, Category I candidates should be considered before lower category candidates and among those in Category I, those with substantial demonstrated experience at the higher grade level should be considered before those without such experience. The same considerations should then apply to Category II and III candidates.
    - c. Within any group of eligibles, experience at the present grade level (TIG) should be used to break ties among equal candidates.
    - d. Irrespective of all other considerations, panels should not recommend anyone for promotion who does not, in panel judgment, have the ability to assume a higher level of responsibility.

**SECRET**

SUBJECT: Office of Finance Comparative Evaluation and Promotion System  
Page 7

e. Panels are not bound by headroom in individual positions but must recognize the panel's responsibility for helping the Office of Finance maintain a reasonable balance between grades of personnel and grades of positions.

f. Panel members in making their promotion recommendations must take into account the Agency's Affirmative Action Plan which is to ensure the fair and equal treatment of all employees, being especially mindful of women and minorities.

2. After the tentative list of individuals for promotions has been made, the panel should review those employees not recommended and provide an explanation for each employee not recommended. Employees may be grouped and one explanation given for the group; i.e. lacking minimum time-in-grade, lacking experience in the current assignment, or a specialist lacking a clear path for progression. A single explanation may be given for all employees ranked in one category; i.e., no headroom was available for anyone ranked in Category III. The panel should then ask themselves -- "Have we provided the CMD with an adequate explanation for those employees who did not get promoted? Have we also provided an adequate justification for our actions in promoting those we recommended? Have we addressed all formal recommendations for promotions and reached a decision?" It is only after the panel has examined each employee on the CEL to determine the relative merits of promotion can the promotion list be considered final.

F. Roughly six months after the first annual meeting, the panel will be reconvened for the purpose of recommending promotions for the second phase of the semi-annual cycle. While this meeting has generally been referred to as a "promotion panel only" as opposed to the combined "ranking and promotion panel", ranking nevertheless plays an important part in this exercise. Since performance appraisal reports are only given annually and coincide with the first panel meeting, little new data is available on most individuals. The panel should consider any new data that it had requested or is otherwise available (changes in assignment, interim PARS, recommendation for promotions, etc.) and should determine whether such new data alters any of the scores previously given an employee on the evaluation worksheet. Such numerical scores will be adjusted where the panel deems they are warranted. Once the panel is satisfied that the worksheet and comparative rankings are relatively correct, the CEL may be accepted and the promotion ranking process may begin. The same steps outlined in paragraph III E above should be taken. The panel should follow the CEL category order in recommending promotions or adequately document their reasons for not doing so.

~~SECRET~~

SUBJECT: Office of Finance Comparative Evaluation and Promotion System  
Page 8

IV. THE MF CAREER SUBGROUP PANEL RESPONSIBILITIES

The panel system is the key element in the successful career management system of the Agency. It is the panel that judges an employee's comparative ranking and recommends promotions. It is the panel that provides the meat for employee counseling. We must continue to demonstrate that the panel system as applied in the Office of Finance is just and fair and serves the best interest of the MF careerist and the career service.



Edward L. Sherman  
Director of Finance

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**SECRET**

Figure 1

SUBJECT: Office of Finance Comparative Evaluation and Promotion System

MF CAREER SUB-GROUP COMPARATIVE EVALUATION CRITERIA

Scoring will be done using only the established numbers for each factor. The number used should be based on what can reasonably be expected of an employee at the particular grade level. The narrative descriptors for scores of individual factors should be viewed as guidelines.

1. Experience

The knowledge, competency, and productivity, acquired through previous assignments, and skill specialization. The range and variety of an individual's knowledge, skills, and ability provide an indicator of future effectiveness. In the more senior levels of each discipline, experience factors which should be considered are the nature and number of assignments, including rotational assignments, field assignments, special assignments undertaken or projects worked on, and, as appropriate, relevant prior non-Agency experience. Depending upon the variety of duties performed, the following factors should be considered:

- a. Expertise: The degree to which the employee has developed specialized knowledge and skills that would be difficult to replace in a functional area of work (Figure 2). This factor emphasizes qualities such as knowledge of specialized equipment, techniques, laws, regulations, and procedures.

- (1) Individual is still in process of learning basic skills and assigned duties, reflecting limited productivity capabilities within his/her selected field. 2
- (2) Individual has performed successfully in the current assignment which contains limited increases of responsibility and skills application. 4
- (3) Individual has a good knowledge of past and present assignments and is capable of handling new assignments employing a variety of related skills. 6
- (4) Individual has excellent depth of knowledge, skill, experience, and ability to handle a variety of assignments both in his specialized area and related fields. 8

SECRET

Figure 1

SUBJECT: Office of Finance Comparative Evaluation and Promotion System

- b. Versatility: The applicability of the individual's knowledge, talent, and skills to assignments in various functional work areas -- general finance, budget, monetary, commercial audit, systems and procedures, and general support, including rotational and field assignments.

- |   |          |
|---|----------|
| (1) Abilities seem to have limited applicability outside current functional work area.                                  | <u>2</u> |
| (2) Effective in <u>two</u> functional work areas.  | <u>4</u> |
| (3) Effective in <u>three</u> functional work areas.  | <u>6</u> |
| (4) An outstanding range of talents and skills demonstrating superior performance in <u>many</u> potential assignments. | <u>8</u> |

2. On-The-Job-Performance

Quality of performance in the individual's current position is one indicator of how well the employee will perform future assignments in a similar field. An appraisal of performance shall center around those factors in the present position which are significant in positions at the next grade level. Depending upon the nature of the duties involved, the following factors should be considered:

- a. Productivity: The degree that an individual's work satisfies standards as to accuracy, quality, completeness, and timeliness with minimum supervision and within the constraints of assets and information.

- |  |          |
|--|----------|
| (1) Performance frequently does not meet all established work standards for the position and reflects a significant problem relating to the individual's suitability for continued assignment in the job (e.g., seldom completes work assignments without strong support; work products or services are often faulty and incomplete). Performance is marginal. | <u>2</u> |
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SECRET

Figure 1

SUBJECT: Office of Finance Comparative Evaluation and Promotion System

- (2) Performance meets all established work standards for the position and attests to a satisfactory level of job-related knowledge, skill or ability (e.g., does what is expected; reliable and dependable, a typical performer). 4
- (3) Performance exceeds established work standards for the position and is generally of higher quality than is required to do the job satisfactorily (e.g., generally produces a better than average product or service; reveals a good level of knowledge, ability and skill in satisfying work requirements). Performance is strong. 6
- (4) Performance invariably exceeds established work standards for the position and shows that the individual's level of job-related knowledge, skill, and ability is highly developed (e.g., functions with ease in satisfying work requirements, producing a high-quality product or service). Performance is excellent. 8
- b. Judgment: The degree to which the individual, compatible with expectations normal to the grade level and function, makes sound recommendations and effective decisions, including whether or not an issue is deserving of attention at a higher level.
  - (1) Frequently evidences questionable judgment in actions taken. 2
  - (2) Shows average capability for making sound recommendations and decisions. 4
  - (3) Evidences above average capability in consistency of sound recommendations and decisions. 6
  - (4) Demonstrates clearly superior capability in consistency of sound recommendations and decisions. 8

**SECRET**

Figure 1

SUBJECT: Office of Finance Comparative Evaluation and Promotion System

- c. Creativity/Innovation: The degree that the individual identifies, develops and expresses innovative but practical alternatives and solutions to problems.
- (1) Depends on others for ideas; tends to accept events or statements at face value with little or no recognition of cause and effect relationships. 2
  - (2) Occasionally suggests new approaches in work; has average ability in identifying facts and proposing solutions to problems. 4
  - (3) To an above average degree, suggests and/or employs new approaches and innovative techniques to old and new problems. 6
  - (4) Unusually imaginative, resourceful, and able to blend old and new; an exceptionally effective idea person with follow-through. 8
- d. Initiative: The ability of the employee to perform effectively with minimal direction or supervision normal to the grade level and function being performed; identifies a need, organizes, and devises and undertakes action to satisfy that need.
- (1) Requires more than normal direction or guidance in performance of duties. 2
  - (2) Requires normal direction or guidance within expectations for the grade level and function being performed. 4
  - (3) Requires less than normal direction or guidance in performance of duties. 6
  - (4) Requires unusually little direction or guidance in performance of duties. 8
- e. Self-Expression/Written: The effectiveness of the individual in organizing ideas and expressing them clearly and succinctly in written form.
- (1) Demonstrates less than average capability for effective written expression; writing usually requires substantial revision. 2

**SECRET**

SECRET

Figure 1

SUBJECT: Office of Finance Comparative Evaluation and Promotion System

- (2) Demonstrates up to average capability for effective written expression; writing is understandable and acceptably organized. 4
  - (3) Shows above average capability for effective written expression; writes clearly and effectively. 6
  - (4) Shows a clearly superior capability for effective written expression; notable for clarity, conciseness, and organization. 8
- f. Self-Expression/Oral: The effectiveness of the individual in all forms of oral communication.
- (1) Has difficulty expressing thoughts in an organized, easily understood manner. 2
  - (2) Oral communication is acceptable in most situations. 4
  - (3) Has above average capability for expressing ideas clearly; and concisely. 6
  - (4) Is usually articulate and persuasive in oral presentations and in idea exchanging discussions. 8

3. Personal Attributes and Abilities

There are a number of personal qualities that can be assessed to provide an indication of an individual's effectiveness in positions with higher level responsibilities. These include the following:

- a. Leadership: The degree to which an individual influences, inspires or motivates others in the successful achievement of tasks or activities.
- (1) Has limited capability or desire to influence or motivate others. 2
  - (2) Has moderate success influencing or motivating others. 4
  - (3) Is generally successful in influencing and motivating subordinates and peers. 6
  - (4) Easily exerts influence and motivates others to achieve goals/tasks - a highly effective leader. 8

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Figure 1

SUBJECT: Office of Finance Comparative Evaluation and Promotion System

- b. Interpersonal Relationships: The degree to which the employee demonstrates the ability to relate and work with subordinates, counterparts, and supervisors.
- (1) The employee frequently exhibits little interest in working with others or is often ineffective in relationships. 2
  - (2) The employee is usually effective, but on occasion may exhibit some weakness or difficulty in relationships. 4
  - (3) Evidences better than average effectiveness in working with others; relates unusually well and stimulates rapport. 6
  - (4) The employee demonstrates exceptional ability in working with others at all levels. 8
- c. Training: The amount of interest the individual has shown in his/her intellectual and professional growth through Agency-sponsored training or training undertaken at the individual's own initiative. (If no data or record, employee should be given rating of 2.)
- (1) Shows no interest in self-improvement through additional training. 1
  - (2) Has made some effort to pursue self-improvement through Agency-sponsored training. 2
  - (3) Has actively pursued self-improvement through additional training, internal or external. 3
  - (4) Has made a constant effort to improve knowledge and experience by accomplishing a wide variety of internal or external training. 4
- d. Mobility: The individual's availability and willingness to accept another assignment. (If no data or record, employee should be given rating of 3.)
- (1) Individual refuses to accept reassignments. 1

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Figure 1

SUBJECT: Office of Finance Comparative Evaluation and Promotion System

- (2) Individual accepts assignments reluctantly. 2
- (3) Individual accepts reassignments readily. 3
- (4) Individual's eager to serve wherever needed. 4
- e. Dedication: The level of the individual's commitment and response to the task at hand utilizing organizational policies, procedures and decisions/commands; participates as a team player in the furtherance of organizational goals.
  - (1) Commitment and response is governed by degree of supervision imposed. 2
  - (2) Has average commitment and participates without close supervision. 4
  - (3) Willingly accepts and supports higher level decisions or makes constructive suggestions for change through command channels. 6
  - (4) Willingly accepts and actively promotes to peers and subordinates acceptance and understanding of higher level decisions; and contributes freely and constructively through channels to the change process for improving policies and procedures. 8
- 4. Potential: The degree to which all aspects of the employee's career performance indicate a capacity for growth and assumption of increasing responsibilities.
  - a. Is at or near full potential 2
  - b. Probably has the capacity for further growth. 4
  - c. Has more than average capability for effective performance beyond current level. 6
  - d. Has an outstanding capacity for growth and development in assignments of progressively increasing levels of responsibility. 8

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Figure 2

SUBJECT: Office of Finance Comparative Evaluation and Promotion System

MF CAREER SUBGROUP FUNCTIONAL AREAS OF WORK EXPERIENCE

There follows a general description of the functional areas of work to which MF careerists may anticipate assignment as a basis for gaining experience and perspective for positions of increasing responsibility.

A. General Finance - Preparation and/or pre-payment review audit and/or certification of (1) accountings, including travel vouchers, (2) documentation for disbursements (reimbursement claims and advances of all varieties), (3) invoice payments, etc; preparation of posting vouchers and obligation documents; maintenance of Class A or Class B Accountings and Reporting System; serve as custodian of official funds; support of proprietary and non-official cover activities; utilization of computer terminals in accomplishment of general finance functions; payroll operations; and liaison activities.

25X1A B. Budget - Participation in (1) formulation and development of program and budget estimates and preparation of final budget; (2) preparation of program descriptions, budget justifications and explanations of changes in estimates; and (3) execution of budget, analysis of current status, projections and recommendations for reprogramming of projected savings or curtailments to fund higher priority requirements.

D. Commercial Audit - Analysis of cost proposals submitted by commercial contractors; performance of accounting system surveys and/or financial capability studies of prospective Agency contractors; execution of audits of costs incurred on Agency contracts; performance of audits of indirect expense allocation rates; conducting audits for compliance with Cost Accounting Standards; performance of Truth-in-Negotiation audits.



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Figure 2

SUBJECT: Office of Finance Comparative Evaluation and Promotion System

E. Systems and Procedures - Assignments with responsibility for doing staff work and analysis leading to recommendations for development and implementation of new systems or procedures or enhancement of existing systems or procedures, automated or manual as applicable; development of financial or travel regulations, initiation and maintenance of charts and descriptions of accounts for the Agency or Agency-sponsored activities.

F. General Support - Non-finance duties personnel, security, logistics, operations support or advice and guidance thereon in support of activities at field installations, including WSHEADSET TDY's, or at Headquarters when performed in conjunction with, on behalf of, or in the absence of an assigned support/administrative officer.

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## COMPARATIVE EVALUATION WORKSHEET

Employee:

## Panel Members

### PERSONAL ATTRIBUTES AND ABILITIES

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Consensus :

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Figure 3